

In Reply Refer To:
Mail Stop 601

Memorandum

To: All USGS Employees

From: S. Kaye Cook
Chief, Office of Human Resources

Subject: 2011 Performance Appraisal/Awards Information

Annual performance ratings for this year (October 1, 2010 through September 30, 2011) must be completed and discussed with employees by **October 31, 2011**. Interim ratings completed by a departing supervisor in the last 90 days of the rating period should be submitted as the annual summary performance rating.

Employees must have been on an established and signed plan for a minimum of 90 days in order to receive a performance rating. If an employee has not been on an established and signed performance plan for the minimum appraisal period of 90 days by September 30, 2011, the rating period must be extended into Fiscal Year (FY) 2012 to allow the employee to work under the plan for the full 90 days before the supervisor completes the performance rating.

The deadlines listed below must be met to ensure that the USGS meets the requirements as prescribed by the Department of the Interior.

Deadlines for Performance Appraisals and Awards:

- Hard copies of completed performance appraisals (DI-3100 and DI-3100S) are due to the servicing Human Resources Office (HRO) by **November 10, 2011**.
- Performance-based cash awards and Quality Step Increase (QSI) requests must be documented on the bottom of the DI-3100 or DI-3100S and sent to the servicing HRO by **November 10, 2011**, so that all performance-based awards are processed in the Federal Personnel Payroll System (fpps) by **November 30, 2011** and all QSI's are processed in FPPS by **December 31, 2011**.

- If a situation precludes timely processing, the QSI can be delayed past December 31, via approved exception, but cannot be delayed past the end of the next performance year. Please contact your servicing Employee Relations Specialist to obtain exception guidelines (<http://internal.usgs.gov/ops/hro/askhor/html>).

Reminders for the 2011 Performance Appraisal:

- All Performance Appraisal forms must have electronic signatures on Part A-1, A-2, A-3, Part B, and Part D. If an employee refuses to sign Part D, check the “Employee refused to sign” box in Part D.
- A narrative summary must be written for each Critical Element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory. Summaries should contain examples of the employee’s performance relative to the measurable criteria that support the rating level assigned.
- Overall summary ratings of Exceptional, Minimally Successful or Unsatisfactory must be reviewed and signed by the Reviewing Official **before** the Rating Official discusses the rating with the employee.
- Contact your servicing Employee Relations Specialist if you plan to rate an employee as Minimally Successful (Level 2) or Unsatisfactory (Level 1) before discussing the rating with the employee.
- Employees who receive a rating of Minimally Successful (Level 2) or Unsatisfactory (Level 1) may not receive a Within-Grade Increase (WGI).
- Employees who received a WGI between July 1 and September 30, 2011, must be rated at least Fully Successful.

Reminders for the 2011 Performance Award:

- An employee must be rated Superior (Level 4) or Exceptional (Level 5) to be eligible for a performance-based award. The amount of the performance-based award should reflect the employee’s level of performance. For example, an employee who receives an award based on an Exceptional performance rating should receive a larger cash award than an employee with a Superior rating. Employees with an Exceptional rating may be awarded a maximum of 5% of total adjusted pay. Employees with a Superior rating may be awarded a maximum of 3% of total adjusted pay.
- Approval of the Assistant Secretary is not required for performance-based cash awards that exceed \$5,000 if the award is based on a percentage of the employee’s total adjusted pay.

- Performance-based awards must be documented on the DI-3100 and DI-3100S form. To initiate an award, supervisors must complete the section at the bottom of the first page of the form (Performance Award; Cost Account; and FPPS# if appropriate). Submit a hard copy of the completed performance appraisal to the servicing HRO by **November 10, 2011**, for final processing. **Do not use** the DI-451 Award Certification form for a performance-based award.

Establishing 2012 Performance Plans

The Office of Administration and Enterprise Information (AEI) is in the process of converting the current DI-3100 and DI-3100S forms to an InfoPath/SharePoint platform for the 2012 performance rating period. Our target date for implementation is October 3 - 7, 2011. You **will not be able** to create your **2012** employee performance plans until that time. We will issue a memo when the forms are ready with instructions on their use. You can still access the DI-3100 and DI-3100S (FY11) forms to complete your 2011 evaluations.

If you have any questions about the performance appraisal process, please contact your servicing Employee Relations Specialist.